|  |  |
| --- | --- |
| Описание: logo IB |  |
|  | Attachment to the internal regulation on AML/CFT of JSCMB «Ipoteka-bank» |

**AML/CFT QUESTIONNAIRE**

**I. GENERAL INFORMATION**

|  |
| --- |
| **1.1. Name of the Financial Institution (according to Charter documents)** |
| a. Full legal name of the financial institution (FI): b. Short name of the financial institution:  |
| **1.2. Organizational – legal form of FI** |
|  |
| **1.3. Information on state registration** |
| a. Registering authority:      b. Date of registration:      c. Registration number:      d. Place of registration:  |
| **1.4. Bank codes**  |
| Bank identification code (BIC) |  |
| SWIFT |  |
| TELEX |  |
| other |  |
| **1.5. License**  |
| a. Type of the license:      b. Issued by:      c. Date of issue:      d. License no:  |
| **1.6. Address** |
| a. Legal address: b. Postal address:  |
| **1.7. Contact information** |
| a. Telephone:      b. Fax:       | c. web-site:      d. e-mail:       |

**II. INFORMATION ON STRUCTURE AND MARKET STATUS OF FI**

|  |
| --- |
| **2.1. Main shareholders (who directly or indirectly own, control or have voting rights power equal to or exceeding 10% - name and place of location (registration)):** |
| *1.**2.**3.* |
| **2.2. Members of the Management Board of FI** |
| *1.**2.**3.* |
| **2.3. Names of CEO and CFO** |
| *1.**2.* |
| **2.4. Information on branches and subsidiaries of FI** |
| *1.**2.* |
| **2.5. List of correspondent banks** |
| *1.**2.* |
| **2.6. Reputation in the market (link on Bankers Almanac registration)** |
|  |
| **2.7. Name of the external auditor** |
| *1.* |
| **2.8. Ratings of FI by international rating agencies (Moоdy`s, Standard&Poor`s, Fitch Ratings etc.)**  |
|  |

**III. MEASURES AGAINST ML/FT**

|  |
| --- |
| **3.1. Please list the names of your country's laws and regulations designed to combat money laundering and terrorist financing. Is your bank subject to such laws?** |
|  |
| **3.2. Does the FI have internal unit responsible for AM/CFT procedures?**  |
|  |
| **3.3. Name and contact details of compliance officer** |
| a. Surname and Name: b. position: c. telephone: d. e-mail:  |
| **3.4. Does your country’s legislation require application of measures against money laundering and financing of terrorism? If yes, what kind of measures?** |
| [ ] YES*[ ] NO* |
| **3.5. Does the FI have “KYC” policies and procedures (customer due diligence, identification and verification)? If yes, please give detailed information.** |
| [ ] YES*[ ] NO* |
| **3.6. Additional due diligence as regards high risk counterparties (e.g. Politically Exposed Persons, trusts or other similar corporate vehicles that could be potentially misused to conceal the source of funds and their ownership, etc.)?** |
| [ ] YES*[ ] NO* |
| **3.7. Does the FI require that its AML policies and practices be applied to all branches and subsidiaries of the FI both in the home country and in locations outside of the home country?** |
| [ ] YES*[ ] NO* |
| **3.8. Does the FI provide AML trainings to relevant employees that include identification and reporting of transactions that must be reported to government authorities, examples of different forms of money laundering involving the FI’s products and services and internal policies to prevent money laundering?** |
| [ ] YES*[ ] NO* |
| **3.9. Does the FI have a monitoring program for suspicious or unusual activities? Please give details of software used for monitoring such activities.**  |
| [ ] YES*[ ] NO* |
| **3.10. Does the FI have a risk focused assessment of its customer base and transactions of its customers?** |
| [ ] YES*[ ] NO* |
| **3.11. Does the FI have branches or subsidiaries located in countries that do not comply with Financial Action Task Force (FATF) or considered as high risk?** |
| [ ] YES*[ ] NO* |
| **3.12. Does the FI have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks through any of its accounts or products? (A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.)** |
| [ ] YES*[ ] NO* |
| **3.13. Does the FI monitor opening of accounts for customers or screen transactions of customers that deems to be of significantly high risk which may include persons, entities or countries that are contained on lists issued by government/international bodies?** |
| [ ] YES*[ ] NO* |
| **3.14. Has your Bank/Branch had faced with any regulatory or criminal enforcement actions resulting from violation of local/international AML legislation before?** |
| [ ] YES*[ ] NO* |
| **3.15. Have written “Know your Customer" (KYC) procedures and require reliable evidence of identity for all types of accounts, products and custody arrangements?** |
| [ ] YES [ ] NO      |

I confirm that, to the best of my knowledge, the above information is correct, accurate and reflective my company’s money laundering, combating terrorist financing and know your customer policies, procedures and programs.

*Please, after filling AML/CFT QUESTIONNAIRE send to elmurod.mirzaev@ipotekabank.uz*

**Filled by:**

**Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Position:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**